Partnerships

in

HEALTH & SAFETY

Audit Instrument Package

Alberta
HUMAN RESOURCES AND EMPLOYMENT

(Meets requirements of Partnerships Audit Instrument Standard)

October, 1999

106-07363/

Partnerships

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October, 1999

PARTNERSHIPS IN HEALTH AND SAFETY SYSTEM AUDIT

This package includes all the forms and instructions for using and completing a Partnerships audit.

Purpose

A health and safety system audit is a comprehensive and objective review of the design and effectiveness of your health and safety system. Evaluating your health and safety system allows you to:

- ❑ Obtain valuable input from employees and others at your worksite on the usability and practicality of your health and safety system.
- ❑ Review each individual component of your operation to determine how well your system is being implemented.

Who Performs the Evaluation?

A health and safety audit can be done by employees trained in auditing or by external, trained auditors. Note that an external, independent audit is required for achieving a Partnerships Certificate of Recognition (COR).

Frequency of Audits

How often you audit your health and safety program may vary. The frequency will depend on:

- Changes in business operations
- Staffing changes
- Degree of work hazards
- Past audit results
- Incident frequency
- COR requirements

Thank you for choosing the Partnerships audit instrument for evaluating your organization. If you have questions or suggestions for improvement, we encourage you to contact the Partnership Team at (780) 427-8842, or toll free at 1-800-427-8842.

Revision Date:

October, 1999

Partnerships

INSTRUCTIONS

The Partnerships Health and Safety System Audit Instrument is designed for use in auditing health and safety systems.

Maintaining Confidentiality

When people are interviewed, formally or informally, auditors will keep their names confidential. It is important to protect the rights of individuals so they can express their opinions freely without experiencing negative consequences. It is also the only way to ensure that you are getting accurate information. Auditors should not include the names of sources in any notes they make on the audit instrument. If auditors want to keep track of sources for future reference, they should keep these records separate and confidential.

How to Score

Scoring on the audit form is straightforward. For **all or none questions**, the auditor gives full marks if the question can be answered with a YES, and no marks if the answer is NO. Unless auditor instructions indicate otherwise, questions can be answered with a YES when positive indicators are greater than 50%. Part marks are given only where **auditor judgement** (a range of points) in scoring is indicated. Points are awarded based on the percentage of positive indicators.

The auditor must validate the answer to the audit question using the validation techniques (i.e. documentation, interviews, and observation) as outlined in the auditor instruction for each question.

There are audit questions where more than one validation technique is listed. For example, if it says documentation and interviews, points are awarded based on both validation techniques confirming the audit question as a YES. If it says documentation or interviews, points can be awarded based only on one validation technique confirming the audit question as a YES.

In a few cases, the auditor has the option of selecting not applicable (N/A) as an answer. This choice has been provided because some questions may not be applicable to every operation. If the auditor selects N/A, the points for that question are deducted from the total points possible for the audit. There must be proper justification for a N/A response.

All scoring must be justified with auditor notes. Once all audit questions have been completed and the scores determined the total audit score can be calculated. The table for calculating the final score is provided at the end of the audit instrument.

Steps for Completing an Audit

1. Pre-Evaluation Meeting This is to give a brief overview of the evaluation process. Attendees should include appropriate senior management and labour representatives. Ensure that the whole site is made aware that the audit is going to take place.

2. Familiarization Tour This is a short tour of the facilities that will be evaluated, preferably taken with someone knowledgeable with the whole operation.

3. Review Documentation This is a review of the applicable health and safety documentation. Use the Audit Documentation Guideline included in the appendix Section E of this package. Comment and score the appropriate audit questions.

4. Staff Interviews Conduct the staff interviews that have been pre-arranged during the pre-audit meeting. Use the **Interview Record Forms** included in Section C of this package. Comment and score the appropriate audit questions.

5. Site Observation Tour This is for verifying audit questions where the validation technique is listed as "Observation". The Audit Observation Tour Guideline in Section E provides a format for conducting a check of conditions at the worksite. Comment and score the appropriate audit questions.

6. Organize The Findings Create a summary of your overall findings for the Post-Evaluation Meeting (Step 7).

7. Post-Evaluation Meeting The same people that attended the pre-evaluation meeting should be present. You will be reviewing the audit process, presenting the major strengths and recommendations and answering any questions. Indicate that a final report will be forwarded in a reasonable amount of time.

8. Final Report Once you have left the site you will prepare a final report that the organization can use for improving its health and safety system. It should be done in a reasonable amount of time. You can use the **Audit Report** (Section D) to provide a summary of all the audit findings. **The audit report, completed audit instrument with auditor notes and pre-audit information, must be submitted to the Certifying Partner within 45 days after the completion of the audit.**

GLOSSARY

ACCIDENT
An undesired event that results in physical harm to a person or damage to property.

COMPETENT WORKER
An adequately qualified, suitably trained person with sufficient experience to safely perform work without supervision.

CONTRACTOR
An individual or employer hired under contract to provide materials or services to another individual or employer. (Includes sub-contractor)

CRITICAL
High potential for serious loss or injury.

DOCUMENTATION
Formally developed and printed materials including: policies, procedures, rules, etc.

EMPLOYEE
A person employed by an entity, including managers, supervisors and workers.

HAZARD
A condition or behaviour that has the potential to cause an injury or loss.

INCIDENT
An undesired event that under slightly different circumstances, could have resulted in personal harm, property damage, or loss. Also referred to as a near-miss.

INVENTORY
A comprehensive list of jobs/tasks produced from a systematic review of all jobs/tasks in the work area.

JOB PROCEDURE
A written, step-by-step description of how to perform a task from beginning to end.

MANAGEMENT
Persons engaged in the administration of business concerns

MANAGER
A person who has charge of a workplace or authority over a worker.

NEAR MISS
An undesired event that under slightly different circumstances, could have resulted in personal harm, property damage, or loss. Also referred to as an incident.

RECORDS
Documentation including forms, checklists, reports, memos, etc. that create a history of event/activities and that are useful in the operation and maintenance of a program, system, etc.

RESPONSIBILITY
One's duty to do what is assigned, expected, understood.

RISK
Chance of loss.

ROOT CAUSE
The underlying or basic factors which contribute to the direct cause of an accident or incident.

SAFE WORK PRACTICE
A written set of guidelines which establish a standard of performance for an activity.

SENIOR MANAGER
The person with the authority to establish policies for the business concern. They usually do not directly supervise front line employees but are responsible for decision making, policy making, financial matters, planning, etc.

SENIOR OPERATING OFFICER
The most senior person (e.g. President, CEO, Owner) with the authority to establish policies for the organization (e.g. health and safety).

SUPERVISOR
A person who has charge of a workplace or authority over a worker, such as front line supervisor, shift supervisor, foreman, etc.

SYSTEM
A group of interrelated items, individuals, policies, procedures, records, etc. that achieve desired results.

VISITOR
A person present at a worksite. This could include a member of the public or a person carrying out the duties of his/her own employer. (Examples: Delivery person, salesperson, repair person, suppliers, etc.)

WORKER
An employee under the control of a manager or supervisor.

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1. Management Leadership and Organizational Commitment				
	Questions	**Score**	**Instructions**	**Notes**
1.1	**Is there a written Health and Safety policy for the organization?** **(5 points)**		**Verified by reviewing written policy.** Must be a policy document. To award the five (5) points, the policy **must include**: -declaration of management commitment to health and safety -overall goals and objectives -general responsibilities of managers, supervisors, workers and contractors regarding health and safety -requirement to comply with applicable government regulations -requirement to comply with organization's own health and safety standards	
1.2	**Is the policy signed by the current senior operating officer?** **(2 points)**		**Verified by reviewing documentation.** The signature must be that of the current senior-operating officer.	

	Questions	Score	Instructions	Notes
1.3	Is the policy readily available to employees? **(0-3 points)**		**Verified by observation or employee interviews, as applicable.** Determine the method used by the employer to make the policy readily available. The current policy may be posted on bulletin boards, in lunchrooms, reception areas and may be in employee handbooks; safety manuals or it may be on the computer. Points are awarded based on the percentage of positive observations or on the percentage of positive responses from interviews.	
1.4	Are employees aware of the policy's content? **(0-5 points)**		**Verified by employee interviews** Employees should be able to explain, in general terms, the policy content. Points are awarded based on the percentage of positive responses from interviews.	
1.5	Have specific health and safety responsibilities been written for: Managers? **(5 points)** Supervisors? **(5 points)** Workers? **(5 points)** Contractors? **(5 points)**		**Verified by reviewing documentation**, other than the policy (e.g. contracts, job descriptions, and program manuals). Depending on size or nature of organization, one or more of these categories may not be applicable (N/A).	

	Questions	Score	Instructions	Notes
1.6	Are the following aware of their specific health and safety responsibilities covered by legislation and departmental policy: Managers? **(0-5 points)** Supervisors? **(0-5 points)** Workers? **(0-5 points)** Contractors? **(0-5 points)**		**Verified by employee and contractor interviews.** Depending on size or nature of organization, one or more of these categories may be not applicable. (N/A) Points may be awarded even though written specific responsibilities in 1.5 are not in place. Points are awarded based on the percentage of positive responses from interviews.	
1.7	Are employees evaluated on their individual health and safety performance? Managers? **(0-5 points)** Supervisors? **(0-5 points)** Workers? **(0-5 points)**		**Verified by employee interviews.** Employees at all levels should be able to explain how their OH&S performance is evaluated. Some examples are performance appraisal, discipline process for non-performance, letters from the employer, positive reinforcement by supervisors, job safety observations, management and supervisor reviews, etc. Points are awarded based on the percentage of positive responses from interviews.	
1.8	Does the senior operating officer communicate to employees, at least annually, the organization's commitment to health and safety? **(5 points)**		**Verified by employee interviews to determine how this is done.** Full points awarded for 60% positive response from employees interviewed.	
1.9	Do senior managers tour the work site to reinforce health and safety practices and behaviors: Every 6 months? **(10 points)** **OR** Yearly? **(5 points)**		**Verified by employee interviews.** Senior manager tours can be concurrent with other business purposes. Not all sites need to be included in the tours. Points are awarded for 60% positive response from persons interviewed.	

	Questions	Score	Instructions	Notes
1.10	Is relevant current health and safety legislation readily available at work sites? **(5 points)**		**Verified through observation at work sites.** Copy(s) of current occupational health and safety legislation (federal, provincial, municipal) appropriate to the operation of the work site(s) should be present on site. Some examples could be OHS Act, General Safety Regulation, Chemical Hazard Regulation, First Aid Regulations, etc.	
1.11	Is there a process in place that addresses contractor health and safety while on site? **(5 points)**		**Verified by interviewing contractors on site and reviewing documentation.** If no contractors are on site, then the score is based on documentation.	
1.12	Is there a process in place that addresses visitor health and safety while on site? **(5 points)**		**Verified by review of documentation or employee interviews.** If no documentation exists, interview employees. An external auditor is considered a visitor on site. Interview points are awarded based on 80% of positive response from employees.	
1.13	Does the employer provide the health and safety resources needed (workers, equipment methods, materials, and money) to implement and improve health and safety? Managers? **(0-5 points)** Supervisors? **(0-5 points)** Workers? **(0-5 points)**		**Verified by employee interviews.** Interview points are awarded based on the number of positive responses.	
	Total Points Possible: 115			

Audit Score

Total points possible 115 - Points not applicable (N/A) _____ = Total points _____

Total points scored = ☐

(divided by) _____

Total points possible = ☐

x 100 = FINAL SCORE _____ %

2. Hazard Identification and Assessment

	Questions	Score	Instructions	Notes
2.1	Has an inventory been taken of jobs? **(0-20 points)**		**Verified by reviewing documentation.** A list of employee occupations/jobs should be in place and the various tasks within those occupations/jobs should be identified. Points are awarded based on the percentage of jobs inventoried.	
2.2	Are health and safety hazards identified for the jobs listed in the inventory? Health Hazards? **(0-20 points)** Safety Hazards? **(0-20 points)**		**Verified by reviewing documentation** to determine if there is a system in place to identify hazards from the job inventory (Refer to 2.1). Both health and safety hazards should be identified to ensure that ergonomic risks, exposure to chemicals, noise, heat stress, etc. are addressed. Points are awarded based on the percentage of jobs for which hazards have been identified compared to the total number of jobs identified.	

	Questions	Score	Instructions	Notes
2.3	**Have the health and safety hazards been evaluated according to risk?** **Health Hazards? (0-20 points)** **Safety Hazards? (0-20 points)**		**Verified by reviewing documentation.** There must be a system/process for evaluating risk. System should include an assessment of the: ① Potential consequences of exposure to the hazard (severity) ② Likelihood of an incident occurring (probability) ③ Degree of exposure to the hazard (frequency) This evaluation could be qualitative (High, Medium, Low, A, B, C,) or quantitative (3, 2, 1). Points are awarded based on the percentage of hazards that have been evaluated compared to the health and safety hazards identified in 2.2.	
2.4	**Are identified health and safety hazards prioritized according to risk?** **(0-20 points)**		**Verified by reviewing documentation** to determine if there is a system to assess the hazards and rank them from the highest to lowest. Points are awarded based on the percentage of health and safety hazards that are prioritized.	
2.5	**Are workers involved in health and safety hazard identification and assessment?** **(10 points)**		**Verified by review of hazard assessment documentation and interviewing workers** to confirm whether the involvement is meaningful. At least 60% of those interviewed must be aware of worker involvement to award points. Not all workers need to be involved. Worker involvement could be through health and safety committees, teams, safety representatives, projects, pre-job planning, etc.	

	Questions	Score	Instructions	Notes
2.6	Are key employees trained in the process of hazard identification and assessment? **(0-10 points)**		**Verified by review of documentation and interviewing key employees.** Key employees lead the hazard assessment process, team leaders, etc. Score: 0-5 points for documentation 0-5 points for interviews Points are awarded based on the percentage of positive indicators.	
2.7	Are the health and safety hazard assessments reviewed when changes to the operation are implemented? Health Hazards? **(0-15 points)** Safety Hazards? **(0-15 points)**		**Verified by records review and employee interviews.** Documentation may include meeting minutes, supervisor's log book, assessment documents, etc. Changes to the operation could include introduction of new equipment, processes, products, materials, etc. Score: 0-5 points for documentation 0-10 points for interviews Interview points are awarded based on the percentage of positive indicators.	
	Total Points Possible: 170			

Audit Score

Total points possible 170 - Points not applicable (N/A) _____ = Total points _____

Total points scored = ☐

(divided by) _____ x 100 = FINAL SCORE _____ %

Total points possible = ☐

3. Hazard Control

	Questions	Score	Instructions	Notes
3.1	Have hazard controls been identified and implemented: Engineering? **(0-25 points)** Administrative? **(0-25 points)** Personal Protective Equipment (PPE)? **(0-15 points)**		**Verified by review of documentation and observation as appropriate.** Verification process involves looking at the recommended hazard control measure in the hazard assessment document and verifying the implementation through either observation or documentation as indicated below: - Engineering – This is the best method. Involves the design, installation or modification of equipment to eliminate or reduce the hazards (e.g. ventilation, substitution, isolation, guards). **Engineering controls are verified by observation** - Administrative –Used to eliminate or reduce the amount of worker exposure to a hazard by any other method (e.g. job procedures, safe work practices, job scheduling or rotation of workers, training, etc.). **Administrative controls are verified by review of documentation.** - PPE does not control the hazards as such but lessens or prevents injury. Should be used to complement engineering or administrative controls (e.g. head, eye, foot, limb and body, fall and respiratory protection). **PPE controls are verified by observation.** Implemented means the hazard control is in place. Points are awarded based on the percentage of controls implemented compared to those developed.	

	Questions	Score	Instructions	Notes
3.2	**Are workers involved in the control of health and safety hazards?** **(10 points)**		**Verified by worker interviews.** **At least 60% of those workers interviewed must be aware of worker involvement in the development, review or implementation of controls. Worker involvement could be through health and safety committees, teams, safety representative, etc.** **Not all workers need to be involved.**	
3.3	**Are employees using controls developed for identified health and safety hazards?** **(15 points)**		**Verified by employee interviews and observation.** **Compare/observe employee performance against hazard controls developed in 3.1.** **Score: Any combination of interviews and observations to achieve 90% positive responses to award points.**	
3.4	**Is there a process for maintaining equipment and preventing the use of defective equipment?** **(10 points)**		**Verified by review of documentation and worker interviews.** **Review maintenance and work order records. Interview workers to confirm defective equipment is removed for repair.**	

	Questions	Score	Instructions	Notes
3.5	Does management enforce the use of engineering controls? **(0-10 points)**		**Verified by worker interviews and observation.** Interview workers (0-5 points) Interview points are awarded based on the percentage of positive responses. Observation (0-5 points) On the observation tour observe whether management is enforcing the use of engineering controls. Points are awarded based on the percentage of positive observations.	
3.6	Does management enforce the use of safe work procedures, rules, and work practices? **(0-10 points)**		**Verified by worker interviews and observation:** Interview workers (0-5 points) Interview points are awarded based on the percentage of positive responses. Observation (0-5 points) On the observation tour observe whether management is enforcing the use of safe work procedures, rules and work practices when there is a violation. Points are awarded based on the percentage of positive observations.	
3.7	Is the required PPE available? **(10 points)**		**Verified by observation and worker interviews.** Auditor must observe the PPE identified in the hazard control document (Refer to 3.1) is readily available for employee use. Score: Any combination of observation and interviews to achieve 90% positive responses.	

	Questions	Score	Instructions	Notes
3.8	Where personal protective equipment (PPE) is used as a method of control, are employees trained in the use, care and maintenance of the protective equipment? **(0-15 points)**		**Verified by observation and employee interviews.** Score: 0-5 points for interviews 0-10 points for observation Interview points are awarded based on the percentage of positive responses on whether training was provided. Observation points are awarded based on the percentage of positive observations to confirm that PPE is used, cared for and maintained properly as instructed.	
3.9	Is the use of PPE enforced? **(0-15 points)**		**Verified by review of documentation, observation and worker interviews.** The key here is on enforcement. Determine if there is a management system in place, (e.g. written document, discipline process) and is it followed? Verify it is followed through interviews. Points are awarded based on the percentage of positive indicators.	
	Total Points Possible: 160			

Audit Score

Total points possible 160 - Points not applicable (N/A) _____ = Total points _____

Total points scored = ☐

(divided by) _____ x 100 = FINAL SCORE _____ %

Total points possible = ☐

4. Ongoing Inspections

	Questions	Score	Instructions	Notes
4.1	Is there a formal written process that includes frequency of formal inspections by: Managers? **(5 points)** Supervisors? **(5 points)** Worker participation? **(5 points)**		**Verified by review of documentation.** Process could be in the form of a policy, plan, procedures, etc. Frequency is established by the employer based on the health and safety hazards. Inspections should be done on a regular basis.	
4.2	Are formal health and safety inspections carried out in accordance with the process by: Managers? **(5 points)** Supervisors? **(5 points)**		**Verified by review of documentation and management and supervisor interviews** (E.g. inspection records) and verify the frequency of inspections. (Reference 4.1) Verify through interviews that inspections are carried out by the individuals and at the frequency indicated in the documentation. Depending on size or nature of the organization, there may not be managers or supervisors. One of these categories may then not be applicable (N/A).	
4.3	Are workers involved in the inspections? **(15 points)**		**Verified by worker and supervisor interviews.** There must be evidence of worker involvement in inspections to award points (e.g. doing inspections, health and safety committee members, etc.) At least 60% of those interviewed at each site must be aware of worker involvement. Not all workers need to be involved.	

	Questions	Score	Instructions	Notes
4.4	Are the individuals designated to conduct formal inspections given appropriate training? **(0-13 points)**		**Verified by documentation and employee interviews.** Review training records and interview designated individuals to verify training is appropriate. Points are awarded based on the percentage of individuals who have received the appropriate training.	
4.5	Is a site/operation specific checklist used for the inspection? **(0-10 points)**		**Verified by review of documentation** (e.g. inspection reports) A site specific inspection check list must be in place at all operational sites/areas (could be work sites, departments, operations, etc.) Points are awarded based on the percentage of operational sites/areas using the checklist.	
4.6	Are inspection reports reviewed and signed off by management? **(5 points)**		**Verified by review of inspection reports.** The report must be signed off by the manager, at least one level above the supervisor responsible for the area. Score based on 90% of inspection reports reviewed by management.	

	Questions	Score	Instructions	Notes
4.7	Are deficiencies identified in the inspection report corrected in a timely manner? **(0-15 points)**		**Verified by review of documentation, employee interviews and observation.** Documentation should include a time frame for correction as soon as practical and who is responsible (e.g. work orders, purchase orders, memos, etc.) Interview management, supervisors and workers to verify corrective action is done for those actions that cannot be observed and determine whether corrective action is completed in a timely manner. Points are awarded based on the percentage of deficiencies corrected.	
4.8	Is there a system in place whereby employees can report unsafe or unhealthy conditions and practices? **(5 points)**		**Verified by a review of documentation and employee interviews.** The evidence of a reporting system is verified by first reviewing documentation (policy, procedure) to confirm there is a process and then through interviews to confirm awareness and use of the process by employees. Points for reporting are awarded based on 80% positive responses.	
4.9	Does the system for reporting unsafe or unhealthy conditions and practices ensure action is taken by management in a timely manner? **(0-10 points)**		**Verified by interviewing employees.** Interview points for action taken are awarded based on the percentage of positive responses. Could include informing employees of the corrective action taken.	
	Total Points Possible: 95			

Total points possible 95 - Points not applicable (N/A) _____ = Total points _____

Total points scored = ☐

(divided by) _____ x 100 = FINAL SCORE _____ %

Total points possible = ☐

5. Qualifications, Orientation and Training

	Questions	Score	Instructions	Notes
5.1	**Is there a process in place to ensure employees have the qualifications and training to perform their jobs in a healthy and safe manner?** **(15 points)**		**Verified by review of documentation (e.g. training records, application forms, hiring records and employee records) and employee interviews.** Interviews should confirm that qualifications and training are reviewed as part of the hiring process and are felt by workers to be appropriate for the job. Qualifications include the educational background (degree, diploma, certificate, trade certificate, apprenticeship program, etc.)	
5.2	**Are critical health and safety issues addressed before the employee starts his/her normal job responsibilities?** **(0-15 points)**		**Verified by reviewing orientation documentation and by employee interviews.** Critical issues must include: ① Organization Rules/Enforcement ② Work Refusal ③ Emergency Response ④ Accident/Incident Notification ⑤ Critical Hazards Score: 0-5 points – Documentation 0-10 points – Interviews Points are awarded based on the percentage of positive indicators.	

	Questions	Score	Instructions	Notes
5.3	Does a new employee orientation commence within the first week of employment? **(0-15 points)**		**Verified by reviewing records and interviewing employees.** Look for orientation documentation. Score:0-5 points – Documentation 0-10 points – Interviews Points are awarded based on the percentage of positive indicators.	
5.4	Does the new employee orientation cover employer health and safety policies and procedures? **(10 points)**		Verified by documentation and employee interviews. Documentation includes orientation records and Orientation contents. Interviews should support that the material is covered.	
5.5	Do employees receive job specific training required to perform their jobs/assignments in a healthy and safe manner? **(0-15 points)**		**Verified by reviewing training program/training records and employee interviews.** Examples of job specific training include training on safe work procedures, PPE, ergonomics, use of equipment, WHMIS, first aid, defensive driving, TDG, etc. Both health and safety issues must be dealt with to obtain full points. One way of doing this is to look for a match between job descriptions and training received. Job specific training could include working with a competent person until competency can be demonstrated (e.g. buddy system). Interviews should confirm whether the training received is appropriate for workers to perform their jobs/assignments in a healthy and safe manner. Points are awarded based on the percentage of positive responses.	

	Questions	Score	Instructions	Notes
5.6	Is on-going training provided as required? **(0-15 points)**		**Verified by reviewing documentation and employee interviews.** Documentation must show on-going training, refresher and recertification in job specific training, (e.g. skills upgrading, WHMIS, First Aid, Defensive Driving, TDG, maintenance procedures, respiratory protection, etc.) An organization may choose to set time lines for ongoing training on some of these subjects or as Legislated. Score: 0-5 points – Documentation 0-10 points – Interviews Points are awarded based on the percentage of positive indicators.	
5.7	When employees are transferred or assigned new tasks, do they receive job specific training? **(0-15 points)**		**Verified by reviewing training records and interviewing employees.** Job specific training could include working with a competent person until competency can be demonstrated. Score: 5 points – Documentation 0-10 points – Interviews Points are awarded based on the percentage of positive indicators.	
	Total Points Possible: 100			

Audit Score			
Total points possible 100	- Points not applicable (N/A) _____	=	Total points _____

Total points scored = ☐

(divided by) _____ x 100 = FINAL SCORE _____ %

Total points possible = ☐

6. Emergency Response

	Questions	Score	Instructions	Notes
6.1	Is there a written emergency response plan for each work site appropriate to the hazards at the site? **(15 points)** Does the plan include: Communication procedures? **(5 points)** Emergency phone numbers? **(5 points)** List of responsible emergency response personnel? **(5 points)** Evacuation procedures? **(5 points)**		**Verified by review of emergency response plans for each work site.** On mobile sites, plans may be kept in vehicles. Emergency response is taking immediate action to deal with injuries, fires, motor vehicle accidents, bomb scares, chemical spills, explosions, etc.	
6.2	Do persons at the site understand their responsibilities under the plan? **(20 points)**		**Verified by interviewing employees at the site.** Persons include everyone on site (e.g. employees, contractors, tenants, volunteers, etc.) Deals with a general understanding of emergency response. Points are awarded based on 90% positive responses from interviews.	
6.3	Are employees given emergency response training appropriate to their individual responsibility? **(0-10 points)**		**Verified by employee interviews.** Deals with specific training required on site to implement the emergency response plan. Points are awarded based on the percentage of positive responses from interviews.	

	Questions	Score	Instructions	Notes
6.4	Are emergency response drills conducted annually or more often, as required? **(0-10 points)**		**Verified by review of documentation. If no documentation exists, interview employees.** Deals with planned drills, not an actual response. For example, an emergency response drill could include a full blown implementation of the emergency response plan, review of the emergency response plan at meetings, part of an operation, table-top review, practice drills, etc. Points are awarded based on the percentage of sites conducting drills or positive responses from interviews.	
6.5	Are emergency response records kept? **(5 points)**		**Verified by review of emergency response records (e.g. First Aid Record Book).**	
6.6	Are all records of emergency responses, including drills, reviewed to correct deficiencies? **(10 points)**		Verified by review of documentation	
6.7	Are the appropriate number of employees trained in first aid as required by legislation? **(10 points)**		Verified by review of documentation Check legislation and review first aid certificates. Confirm adequate numbers across all shifts.	
6.8	Do first aid supplies and facilities meet legislated requirements? **(10 points)**		**Verified by observation.** Check supplies and facilities against first aid regulation.	
	Total Points Possible: 110			

Audit Score

Total points possible 110 - Points not applicable (N/A) _____ = Total points _____

Total points scored = ☐

(divided by) _____

Total points possible = ☐

x 100 = FINAL SCORE _____ %

7. Accident and Incident Investigation

	Questions	Score	Instructions	Notes
7.1	Is there a written procedure that requires the reporting of occupational accidents, illness, and incidents (near miss)? **(0-10 points)**		**Verified by review of documentation.** Documentation should require the reporting of all types (i.e. accidents, incidents, illness) to award full points. Points are awarded based on the percentage of positive indicators.	
7.2	Are employees aware of their responsibilities to report work-related accidents, incidents, illness? **(0-10 points)**		**Verified by employee interviews.** Interview points are awarded based on the percentage of positive responses.	
7.3	Is there a written procedure for investigating occupational accidents, incidents, illnesses? **(0-15 points)**		**Verified by review of documentation.** Documentation should require the investigation of all types (i.e. accidents, incidents, illnesses) to award full points. Points are awarded based on the percentage of positive indicators.	
7.4	Is there an investigation report form? **(5 points)**		**Verified by review of documentation.** The form must systematically record accident, incident or occupational illness occurrence information, including the circumstances, causes, corrective actions and follow-up.	

	Questions	Score	Instructions	Notes
7.5	Have the persons conducting investigations been trained in investigation techniques? **(0-15 points)**		**Verified by review of documentation and employee interviews.** Check training records of those persons required to conduct investigations, and interview them to confirm training received is appropriate to conduct investigations. If trained investigators are brought in, full points may be awarded. Proof must exist. Points are awarded based on the percentage of positive indicators.	
7.6	Are workers involved in the investigation process? **(0-10 points)**		**Verified by review of investigation documentation and worker interviews.** There must be evidence of worker involvement in investigations to score points. Does not involve only the injured worker. Score: 0-5 points for documentation 0-5 points for interviews Points are awarded based on the percentage of positive indicators.	
7.7	Do investigations focus on: a) Identifying root causes? **(0-10 points)** b) Recommending corrective action? **(0-10 points)**		**Verified by reviewing completed investigation report forms.** Points are awarded based on the percentage of investigation reports reviewed that focus on identifying root causes and recommending corrective action.	

	Questions	Score	Instructions	Notes
7.8	Are supervisors held responsible and accountable for the investigation process? **(0-10 points)**		**Verified by review of investigation documentation and employee interviews.** Score: 0-5 points for documentation 0-5 points for interviews Points are awarded based on the percentage of positive indicators.	
7.9	Are investigation reports reviewed and signed off by management? **(5 points)**		**Verified by reviewing completed investigation reports.** The report must be signed off by the manager at least one level above the supervisor responsible for the area. Points are awarded based on 90% of investigation reports being reviewed and signed off by management.	
7.10	Are completed investigation reports communicated with employees? **(0-10 points)**		**Verified by reviewing documentation and employee interviews.** Documentation could be health and safety meeting minutes, investigation reports posted on bulletin boards, notes on investigation reports. Score: 0-5 points for documentation 0-5 points for interviews Points are awarded based on the percentage of positive indicators.	

	Questions	Score	Instructions	Notes
7.11	Are corrective actions taken to prevent recurrence? **(0-15 points)**		**Verified by interviewing workers and observing corrective action where applicable.** Points are awarded based on the percentage of corrective actions implemented.	
	Total Points Possible: 125			

Audit Score

Total points possible 125 - Points not applicable (N/A) _____ = Total points _____

Total points scored = ☐

(divided by) _____ x 100 = FINAL SCORE _____ %

Total points possible = ☐

8. Program Administration

	Questions	Score	Instructions	Notes
8.1	Is there a system to ensure: a) Health and safety issues are communicated with employees? **(15 points)** b) Feedback on health and safety issues from employees? **(15 points)** c) Follow-up on health and safety issues? **(15 points)**		**Verified through review of documentation and employee interviews** (e.g. newsletter, records of safety meetings, records of toolbox meetings, bulletins, hazard identification and assessment records, suggestion boxes, etc.)	
8.2	Are health and safety issues discussed with contractors? **(0-5 points)**		**Verified by reviewing documentation and interviewing contractors.** Documents could be minutes of toolbox, health and safety committee meetings, unit or team meetings, where applicable. If contractors are not utilized this question is not applicable. Points are awarded based on the percentage of positive indicators.	
8.3	Does management participate in the planned health and safety meetings? **(5 points)**		**Verified by review of documentation.** To award points there must be evidence of management participation.	

	Questions	Score	Instructions	Notes
8.4	Are records of health and safety meetings kept? **(10 points)**		**Verified by review of documentation.** Records include attendance records, agendas, minutes, etc.	
8.5	Are records pertaining to the organization's health and safety system kept for a minimum three-year period? **(10 points)**		**Verified by review of documentation records** (e.g. hazard assessment records, inspection reports, training records, investigation reports, etc.) If the employer's system has not been in place for three (3) years, records should be available since the start up of the health and safety system.	
8.6	Are health and safety statistics maintained? **(10 points)**		**Verified by review of documentation.** Statistics may include frequency rate, severity rate, cost per claim, audiometric stats, pulmonary stats, air quality, blood levels, first aid, etc. If the employer's system has not been in place for three (3) years, records should be available since start up of the health and safety system.	
8.7	Are records or statistics analyzed to identify trends and needs? **(10 points)**		**Verified by review of documentation.**	
8.8	Is the health and safety system evaluated at least annually through the use of an audit process? **(5 points)**		**Verified by review of previous audits.** This could include internal/external audits. If the system is less than one year old, this question is not applicable (N/A).	
8.9	Has an action plan been developed as a result of the previous audit? **(10 points)**		**Verified by review of previous audits.** If the system is less than one year old, this question is not applicable (N/A).	

	Questions	Score	Instructions	Notes
8.10	**Has the action plan been implemented? (0-15 points)**		**Based on items in the action plan, verify implementation by observation, review of documentation, or employee interviews.** **If the system is less than one year old, this question is not applicable (N/A).** **Points are awarded based on the percentage of items in the action plan implemented to date (Refer to 8.9).**	
	Total Points Possible: 125			
	Total Audit Points: 1000			

Audit Score

Total points possible ~~125~~ - Points not applicable (N/A) _____ = Total points _____

Total points scored = ☐

(divided by) _____ x 100 = FINAL SCORE _____ %

Total points possible = ☐

SUMMARY SCORE SHEET

Employer Name: _____

Date of Audit: _____

Auditor: _____

Scope of Audit: **WCB Number(s)** _____

Industry Code(s) _____

Facilities/Worksite _____

Element Number	Total Points Possible	Points not Applicable (N/A)	Total Points	Total Points Scored	Percentage
1. Management Leadership and Organizational Commitment	115				
2. Hazard Identification and Assessment	170				
2. Hazard Control	160				
4. Ongoing Inspections	95				
5. Qualifications, Orientation and Training	100				
6. Emergency Response	110				
7. Accident and Incident Investigation	125				
8. Program Administration	125				
Total Audit Points	1000				

Partnerships

in

HEALTH & SAFETY

Audit Instrument Package

Alberta
HUMAN RESOURCES AND EMPLOYMENT

(Meets requirements of Partnerships Audit Instrument Standard)

October, 1999

Partnerships

INTERVIEW INSTRUCTIONS

The following instructions should be followed when using the interview record forms. They are designed so that a minimal amount of writing is required.

The column "QUESTION NO." indicates the question number in the audit instrument that needs to be validated through interviews.

The column "QUESTION AND COMMENTS" provides the basic question that needs to be answered. It also has space allocated for recording responses.

The "RESPONSE" column is to indicate whether the interviewee was positive (+), negative (-), or non-committal (n.c) in his/her responses.

Questions that have the "RESPONSE" column shaded, are for the interview's information and are not scored.

The order of questions on the interview sheets are not in numerical order as referenced to the audit instrument. The order of questions on the interview sheets is based on the most logical progression for the interview process.

Steps

1. Introduce and explain the interview process and purpose to the interviewee.

2. Discuss some of the interviewee's background information so that questions can be asked in a manner that relates to the individuals job. Make key word notes in the "Background Information" space.

3. Ask the questions on the form. Re-word them if needed. Expand on them if you didn't get enough information. Record key words and comments in the space under the question.

4. Once the question is finished, place a "tick" mark in the space under the "RESPONSE" column that best reflects the interviewee's opinion.

Continue in this manner for all the interviewees. One set of interview record forms may be all that is needed to record all interview responses, for an employee group (i.e. worker, supervisor, etc.).

When interviews are finished, you must determine the overall answer to each evaluation question based on the instruction for scoring for that specific question.

For all-or-none questions, if the percentage of positive responses is less than what is stated in the auditor instructions, no points are awarded.

Partnerships

For auditor judgement (range of points) questions, the percentage of positive responses is used to calculate the proportion of points to award out the total points available for the specific question.

If validation of a question requires two or more employee groups (e.g. worker, supervisor) to be interviewed, combine all the +, -, and n.c. for the applicable groups to calculate the percentage of positive responses for the audit question.

Remember – **All interview records are completely confidential.** Once you are finished with the forms destroy them or keep them in a secure personal file.

EXAMPLE:

A. **All or none scoring** – For question 1.8 (5 points)
10 employees interviewed
Auditor instruction for scoring – Full points awarded for 60% positive responses from employees interviewed.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
1.8	**Does senior management/your boss/the owner ever communicate to employees that health and safety is important? How do they do this and how often?** Yes, at staff meetings. Yes, at meetings and through newsletter. Yes, at meetings and Christmas luncheon. Yes. Yes, all the time. Yes, many times. No, I don't think so. No! I don't know, I just started.	7	2	1

Of the 10 employees interviewed, seven responded positively, two negatively and one did not know. This is 70% positive response, therefore the full five points are awarded.

B. **Auditor judgement question** - for question 1.4 (0-5 points)
10 employees interviewed
Auditor instructions for scoring – Points are awarded based on the percentage of positive responses from interviews.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
1.4	**Does this organization have a health and safety policy? In your own words what does it say?** Yes. Yes. Yes, talks about commitment. Yes, outlines responsibilities. Yes. No. Yes. No. Not sure. Never seen one.	𝍸 |	|||	|

Of the 10 employees interviewed, six (6) responded positively, three (3) negatively, and one (1) was non-committal. This is a 60% positive response. Therefore three (3) points out of a possible five (5) points are awarded. This is calculated based on 60% proportion of points out of a total of five available points (5 x .60=3).

NOTE: All employee groups indicated in the audit question must be interviewed and the interview results combined to be able to calculate the percentage of positive responses.

SENIOR MANAGEMENT INTERVIEW RECORD

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
	Background Information: *What areas are you responsible for? How long have you worked here? How long have you been in this position?*			
1.4	Does your organization have a health and safety policy? What does it say?			
1.3	How are employees made aware of the policy?			
1.6	Do you have any specific health and safety responsibilities? Could you describe them? (Example: arranging health and safety meetings, reviewing incident reports, inspections, etc.) What responsibilities do you have under the Occupational Health and Safety Act and Regulations?			

SENIOR MANAGEMENT INTERVIEW RECORD

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
1.7	How do you evaluate your manager's health and safety performance?			
1.8	How do you personally communicate the importance of health and safety to your employees? How often?			
1.9	Do you tour the work site to reinforce health and safety practices and behaviors? How often?			
1.11	How is contractor safety dealt with on the work site?			
1.12	How is visitor safety dealt with on the work site?			

SENIOR MANAGEMENT INTERVIEW RECORD CON'T.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
1.13	Describe some of the ways you have ensured sufficient resources are allocated to health and safety.			
4.8a	Is there a system in place where employees can report unsafe conditions? What is it?			
4.8b	What happens when unsafe conditions are reported?			
6.2	What are the emergency response procedures for this work site? (Example: What would you do if…) What are your responsibilities?			

SENIOR MANAGEMENT INTERVIEW RECORD CON'T.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
6.4	Are emergency drills held? When was the last one?			
8.1a	What system is in place to ensure communication with employees regarding health and safety issues?			
8.10	Has the health and safety system been audited before? What process has been used to deal with issues identified during the last audit?			

MANAGEMENT INTERVIEW RECORD

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
	Background Information: *What area's are you responsible for? How long have you worked here? How long have you been a manager?*			
1.4	Does your organization have a health and safety policy? What does it says?			
1.3	How do you ensure employees are made aware of the policy?			
1.6	Do you have any specific health and safety responsibilities? Could you describe them? (Example: reviewing incident reports, inspections etc.) What responsibilities do you have under the Occupational Health and Safety Act and Regulations?			

MANAGEMENT INTERVIEW RECORD

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
1.7	Is your health and safety performance evaluated? How?			
	How do you evaluate the health and safety performance of supervisors within your area of responsibility?			
1.8	Does senior management/your boss/the owner ever communicate to employees that health and safety is important? How do they do this and how often?			
1.9	Do senior managers tour the work site to reinforce health and safety practices and concerns? How often?			

MANAGEMENT INTERVIEW RECORD CON'T.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
1.11	How is contractor safety dealt with on the work site?			
1.12	How is visitor safety dealt with on the work site?			
1.13	Do you feel senior management allocates sufficient resources to health and safety? Can you provide examples?			
2.6	Is training provided in the process of hazard identification and assessment? Who is trained? What does it consist of?			

MANAGEMENT INTERVIEW RECORD CON'T.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
2.7	When changes are made to operations – for example a new piece of equipment is purchased or existing procedures are modified – is there a review of the original hazard assessment to assess the impact of the change? Who is responsible for the review of hazard assessments? When? (may have to explain hazard assessments)			
3.2	Are employees involved in establishing the control methods for identified hazards? How?			
3.3	Do employees follow control measures once they have been implemented?			
3.5	How are engineering controls enforced?			

MANAGEMENT INTERVIEW RECORD CON'T.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
3.6	How are administrative controls enforced (safe work procedures, rules and practices)?			
3.9	How is the use of personal protective equipment enforced?			
3.8	Do you provide training to employees in the use, care and maintenance of personal protective equipment? What types of things are covered in the training?			
4.2	Are formal inspection carried out on a regular basis? Do you have any involvement with the inspection process? What is your role?			

MANAGEMENT INTERVIEW RECORD CON'T.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
4.4	What type of training is given to individuals designated to conduct or participate in formal inspections?			
4.7	What process is in place to help ensure deficiencies identified during inspections are dealt with in a timely manner?			
4.8	Is there a system in place where employee's can report unsafe conditions? What is it?			
4.9	What happens next?			

MANAGEMENT INTERVIEW RECORD CON'T.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
5.1	How do you ensure employees have the appropriate qualifications for their job?			
5.2	Are critical issues such as evacuation procedures, first aid services and fire response covered in new worker orientation? When is this information provided?			
5.3	Do you have a general health and safety orientation for new workers? When does it occur?			
5.4	What does it cover?			
5.5	What job specific training is given to workers?			

MANAGEMENT INTERVIEW RECORD CON'T.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
5.6	What type of ongoing or refresher training is provided to employees?			
5.7	When a worker is assigned a new job or task, what type of training is provided to the worker before they carry out their new responsibility?			
6.2	What are the emergency response procedures for your areas? (Example: what would you do if…) What are your responsibilities in the event of an emergency?			
6.3	Who is trained in emergency response? (fire control, rescue, first aid)			
6.4	Are emergency drills conducted? When was the last one?			

MANAGEMENT INTERVIEW RECORD CON'T.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
7.2	What is the reporting process if a work-related accident, incident, or illness occurs?			
7.6	If an accident/incident/ illness occurs, does a formal investigation take place? Who is involved in the investigation process?			
7.5	Are persons conducting investigations trained? What does the training consist of?			
7.11	Is there a process in place to ensure these situations do not re-occur? Can you describe some of the preventive actions taken to prevent recurrence of an accident/incident/illness?			
7.8	Who is responsible and accountable for the investigation process?			

MANAGEMENT INTERVIEW RECORD CON'T.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
7.10	What happens once an investigation is complete?			
8.1a	What system is in place to ensure communication with employees regarding health and safety issues?			
8.1b	What system is in place to ensure employees have the opportunity to provide feedback?			
8.1c	How are issues followed up?			
8.10	Has the health and safety system been audited before? Have items been addressed which were identified during the previous health and safety audit?			

SUPERVISOR INTERVIEW RECORD

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
	Background Information: *How long have you worked here? How long have you been a supervisor? What area do you work in?*			
1.4	Does your organization have a health and safety policy? What does it say?			
1.3	How did you first learn about the health and safety policy?			
1.6	Do you have any specific health and safety responsibilities? Could you describe them? (Example: inspect, organize tool box meetings, investigate, train, etc.) What responsibilities do you have under the Occupational Health and Safety Act and Regulations?			

SUPERVISOR INTERVIEW RECORD

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
1.7	Is your health and safety performance evaluated? How?			
	How do you evaluate the health and safety performance of employees within your area of responsibility?			
1.8	Does senior management/your boss/the owner ever communicate to employees that health and safety is important? How do they do this and how often?			
1.9	Does senior management tour the work site to reinforce health and safety practices and concerns? How often?			
1.11	How is contractor safety dealt with on the work site?			

SUPERVISOR INTERVIEW RECORD CON'T.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
1.12	How is visitor safety dealt with on the work site?			
1.13	Do you feel management allocates sufficient resources to health and safety? Can you provide examples?			
2.6	Is training provided in the process of hazard identification and assessment? Who is trained? What does it consist of?			
2.7	When changes are made to operations – for example a new piece of equipment is purchased or existing procedures are modified – is there a review of the original hazard assessment to assess the impact of the change? Who is responsible for the review of hazard assessments? When? (may have to explain hazard assessments)			

SUPERVISOR INTERVIEW RECORD CON'T.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
3.2	Are employees involved in establishing the control methods for identified hazards? How?			
3.3	Do employees follow control measure once they have been implemented?			
3.5	How are engineering controls enforced?			
3.6	How are administrative controls enforced (safe work procedures, rules and practices)?			
3.9	How is the use of personal protective equipment enforced?			

SUPERVISOR INTERVIEW RECORD CON'T.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
3.4	Is there a process used to maintain equipment? What is it?			
3.8	Do you provide training to employees in the use, care and maintenance of personal protective equipment? What types of things are covered in the training?			
3.7	Is personal protective equipment made available to workers?			
4.2	Are formal inspections carried our on a regular basis? Do you have any involvement with the inspection process? What is your role?			
4.3	Are workers involved in health and safety inspections? What is their role?			

SUPERVISOR INTERVIEW RECORD CON'T.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
4.4	What type of training is given to individuals designated to conduct or participate in formal inspections?			
4.7	Do you feel deficiencies identified in inspections are dealt with in a timely manner? Is there a process to ensure this happens? What is it?			
4.8	Is there a system in place where employee's can report unsafe conditions? What is it?			
4.9	What happens next?			
5.1	How do you ensure employees have the appropriate qualifications for their job?			

SUPERVISOR INTERVIEW RECORD CON'T.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
5.2	Are critical issues such as evacuation procedures, first aid services, fire response covered in new worker orientation? When is this information provided?			
5.3	Do you have a general health and safety orientation for new workers? When does it occur?			
5.4	What does it cover?			
5.5	What job specific training is given to workers?			
5.6	What type of ongoing or refresher training is provided to employees?			

SUPERVISOR INTERVIEW RECORD CON'T.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
5.7	When a worker is assigned a new job or task what type of training is provided to the worker before they carry out their new responsibilities?			
6.2	What are the emergency response procedures for your area? (What would you do if…) What are your responsibilities in the event of an emergency?			
6.3	What training in emergency response have you received? (fire control, rescue, first aid.) Who else on site is trained?			
6.4	Are emergency drills conducted? When was the last one?			

SUPERVISOR INTERVIEW RECORD CON'T.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
7.2	What is the reporting process if a work-related incident, accident or illness occurs?			
7.6	If an accident/incident/illness occurs, does an investigation take place? Who is involved in the investigation process?			
7.5	Are persons conducting investigations trained? What dos the training consist of?			
7.11	Is there a process in place to ensure these situations do not re-occur? Can you describe some of the corrective actions taken to prevent recurrence of an accident/incident/illness?			
7.8	Who is responsible and accountable for the investigation process?			

SUPERVISOR INTERVIEW RECORD CON'T.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
7.10	What happens once an investigation is complete?			
8.1a	What system is in place to ensure communication with employees regarding health and safety issues?			
8.1b	What system is in place to ensure employees have the opportunity to provide feedback?			
8.1c	How are issues followed up?			
8.10	Has the health and safety system been audited before? Have items been addressed which were identified during the previous health and safety audit?			

WORKER INTERVIEW RECORD

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
	Background Information: *What do they do? What department are they in? How long have they been with the organization?*			
1.4	Does this organization have a health and safety policy? In your own words what does it say?			
1.3	How did you learn about the health and safety policy?			
1.6	Do you have any specific health and safety responsibilities? Could you describe them? (Example: inspections, reporting, attending health and safety meetings, etc.) What responsibilities do you have under the Occupational Health and Safety Act and Regulations?			

WORKER INTERVIEW RECORD CON'T.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
1.7	How is your health and safety performance evaluated?			
1.8	Does senior management/your boss/the owner ever communicate to employees that health and safety is important? How do they do this and how often?			
1.9	Does senior management tour the work site to reinforce health and safety practices and behaviors? How often?			
1.12	How is visitor safety dealt with on the work site?			
1.13	Do you feel management allocates sufficient resources to health and safety? Can you provide examples?			

WORKER INTERVIEW RECORD CON'T.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
2.5	Are you involved in hazard assessments? What is your involvement? (May have to explain hazard assessment.) [If yes, go to 2.6] Do you know if any of your co-workers have been involved in hazard assessment?			
2.6	Were you trained in the process of hazard identification and assessment? What type of training was it?			
2.7	When changes are made to operations, for example a new piece of equipment is purchased or existing procedures are modified, is there a review of the original hazard assessment to assess the impact of the change? Who is responsible for the review of hazard assessments? When? (may have to explain hazard assessments)			

WORKER INTERVIEW RECORD CON'T.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
3.2	Are you or any other workers involved in establishing control methods for identified health or safety hazards? Can you give an example? (Example: developing safe work procedures, changing a process, determining proper personal protective equipment.)			
3.4	How is equipment maintained? What happens with defective equipment?			
3.8	Do you need to use any personal protective equipment for your job? What kinds? (Give examples.)			
	How were you trained in the use, care and maintenance of your personal protective equipment?			

WORKER INTERVIEW RECORD CON'T.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
3.7	Is the required personal protective equipment available?			
3.3	Do you feel control measures that have been implemented are appropriate protection? Do you and your peers use the control measures?			
3.5	How does management enforce the use of engineering controls?			
3.6	How does management enforce administrative controls? (safe work procedures, rules and practices)			
3.9	How does management enforce the use of personal protective equipment?			

WORKER INTERVIEW RECORD CON'T.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
4.2	Do managers/supervisors conduct formal inspections in your area? How often?			
4.3	Are workers involved in health and safety inspections? What is your role? How often are inspections conducted?			
4.4	What type of training is given to individuals designated to conduct or participate in formal inspections?			
4.7	Do you feel deficiencies identified in inspections are dealt with in a timely manner? What is the process to ensure this happens?			
4.8	Is there a system in place where employees can report unsafe conditions? What is it?			

WORKER INTERVIEW RECORD CON'T.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
4.9	What happens next?			
5.1	How did your employer ensure you were qualified for your job?			
5.2	Were you provided with information re: critical issues such as evacuation procedures, first aid services and emergency response? When was this information provided?			
5.3	Does your employer have general health and safety orientation for new workers? (May have to explain orientation and give examples.) When does this occur?			
5.4	What does it cover?			

WORKER INTERVIEW RECORD CON'T.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
5.5	Is job-specific training given to workers who may be exposed to a hazard? (Give an example.) Have you received any training like this? Can you describe it?			
5.6	What type of on-going or refresher training have you been given?			
5.7	When you or a co-worker have been assigned a new job or task, are you provided with job specific training for this new responsibility?			
6.2	What are the emergency procedures for this site? (Example: What would you do if…) What are your responsibilities in the event of an emergency?			

WORKER INTERVIEW RECORD CON'T,

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
6.3	What emergency response training have you received? (Example: first aid, fire fighting, rescue, etc.) Who on site is trained in emergency response?			
6.4	Are emergency drills conducted? When was the last one?			
7.2	What types of accidents/incidents/illness do you report? What is the reporting procedure?			
7.6	If an accident/incident/illness occurs, does an investigation take place? Who is involved in the investigation process?			

WORKER INTERVIEW RECORD CON'T.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
7.5	Are persons involved with conducting investigations trained? What does the training consist of?			
7.11	Is there a process in place to ensure these situations do not re-occur? Can you describe some of the corrective actions taken to prevent recurrence of an accident/incident/illness?			
7.8	Who is responsible and accountable for the investigation process?			
7.10	What happens once an investigation is complete?			

WORKER INTERVIEW RECORD CON'T.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
8.1a	How are you informed about health and safety issues? Are you satisfied with the extent to which you are kept up to date on health and safety issues and program activity?			
8.1b	Do you have the opportunity to provide feedback on health and safety issues?			
8.1c	Are the issues dealt with?			
8.10	Has the health and safety system been audited before? Have items been addressed which were identified during the previous health and safety audit?			

CONTRACTORS INTERVIEW RECORD

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c
	Background Information: *What do they do? Have they worked with this employer before? How long have they worked at this site?*			
1.11	How is contractor safety dealt with on the work site?			
1.6	Do you have any specific health and safety responsibilities? Can you describe them? (Example: inspection, reporting, attending health and safety meetings, etc.)			
8.2	How are health and safety issues discussed with you?			

Partnerships

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Audit Instrument Package

Alberta
HUMAN RESOURCES
AND EMPLOYMENT

(Meets requirements of Partnerships Audit Instrument Standard)

October, 1999

HEALTH & SAFETY SYSTEM AUDIT
SUMMARY SHEET

Employer Name: _____
(As registered with WCB)

Employer Trade Name: _____
(If applicable)

Employer Address: _____

_____

Employer Contact Person: _____ **Phone Number ( )** _____
Fax Number ( ) _____

Auditor Name: _____ **Auditor Certification:** _____

Auditor Address: _____ **Phone Number ( )** _____
_____ **Fax Number ( )** _____

Audit Date: _____ **Report Date:** _____

Audit Type: _____
(Internal, External, etc.)

SCOPE OF AUDIT:

WCB Account Number(s): _____

WCB Industry Code(s): _____
Facilities/Worksites: _____

_____

Partnerships

1. Management Leadership and Organizational Commitment

Element Score: **%** **Total Points :** **Total Points Scored:**

Existing Strengths:

Suggestions For Improvement:

2. Hazard Identification and Assessment

Element Score: **%** **Total Points :** **Total Points Scored:**

Existing Strengths:

Suggestions For Improvement:

3. Hazard Control

Element Score: **%** **Total Points :** **Total Points Scored:**

Existing Strengths:

Suggestions For Improvement:

4. Ongoing Inspections

Element Score: **%** **Total Points :** **Total Points Scored:**

Existing Strengths:

Suggestions For Improvement:

5. Qualifications, Orientation and Training

Element Score: **%** **Total Points :** **Total Points Scored:**

Existing Strengths:

Suggestions For Improvement:

6. Emergency Response

Element Score: **%** **Total Points :** **Total Points Scored:**

Existing Strengths:

Suggestions For Improvement:

7. Accident and Incident Investigation

Element Score: **%** **Total Points :** **Total Points Scored:**

Existing Strengths:

Suggestions For Improvement:

8. Program Administration

Element Score: **%** **Total Points :** **Total Points Scored:**

Existing Strengths:

Suggestions For Improvement:

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Partnerships

Document List

This list has been developed directly from the Partnerships audit instrument. Wherever documentation is required for verification, some specific types of documentation that may be used for validation, are listed.

Question	Documentation to Review
1.1, 1.2	Health and safety policy.
1.5	Written statement of responsibilities, job descriptions, employee contracts, and program manuals.
1.11	Contractor agreements, minutes of contractor meetings, health and safety policy manual, correspondence to contractors.
1.12	Health and safety policy manual, visitor information brochure/package.
2.1	Inventory of job positions, task or job inventories.
2.2, 2.5	Completed hazard assessment forms, job observation checklists, job safety analysis.
2.3, 2.4	Procedure for rating hazards, hazard rating forms (blank and completed).
2.6	Training records of individuals designated to conduct hazard assessments. Course material for hazard assessment training.
2.7	Documents outlining process/procedural changes and updated hazard assessment forms, decisions reached in meeting minutes, memos directing a hazard control be implemented, supervisor's log book.
3.1	Completed hazard assessment forms, job procedures, work practices, rules, job schedule or rotation of workers, training records.
3.4	Preventative maintenance records of equipment, tools, and PPE. Work order records, defective equipment tags, written procedures/policy regarding the removal of defective equipment.

Question	Documentation to Review
3.9	Policy and Procedure Manual, PPE policy, discipline procedure.
4.1, 4.2	Health and safety policy and procedure manual, inspection policy, inspection records, inspection schedule.
4.4	Training records of individuals designated to conduct inspections.
4.5	Inspection checklist (blank and completed), inspection reports.
4.6	Inspection reports.
4.7	Memos outlining timeframe for corrective action, minutes of safety/staff meetings, work orders, purchase orders.
4.8	Policy/procedure of hazard reporting process, form for reporting unsafe conditions.
5.1	Application forms (blank), hiring records, training records, copies of certificates/diplomas.
5.2, 5.3, 5.4	Employee orientation records, orientation checklist, orientation package/contents.
5.5, 5.6, 5.7	Department/job specific training material and training records.
6.1	Emergency response plan, evacuation procedures. Emergency numbers, radio codes, emergency communication procedures, list of emergency response personnel/fire wardens.
6.4	Emergency Response drill records, minutes of meetings, emergency response table-top review exercises.
6.5	Emergency response records, first aid record book.
6.6	Emergency response records, minutes of meetings documenting review of drills, documents outlining corrective action or change in procedure as a result of the drills.
6.7	First aid regulations, first aid certificates, first aid training records, shift schedules of certified first aiders.
7.1	Accident/incident reporting procedure, reporting form (blank/completed).

Question	Documentation to Review
7.3	Accident/incident investigation procedure.
7.4	Accident/incident investigation form/report (blank/completed).
7.5	Training records of individuals designated to conduct investigations, investigation training course material.
7.6, 7.7, 7.8, 7.9, 7.10	Investigation report forms (completed), investigation reports, memos outlining implementation of corrective action, minutes of meetings outlining results of investigation.
7.10	Health and safety meeting minutes, investigation reports posted on bulletin boards, notes on investigation reports.
8.1	Employee newsletters, records of health and safety meetings, records of toolbox meetings, minutes of staff meetings, staff communication book, bulletins, hazards identification and assessment records, suggestion boxes.
8.2, 8.3	Minutes of toolbox meetings, health and safety committee meetings, department or team meetings, job site meetings, contractor meetings.
8.4	Agendas, minutes, or attendance records of health and safety meetings.
8.5	Health and safety records – hazard assessment records, inspection reports, training records, investigation reports, hazard reporting records, health assessment records.
8.6	Health and safety statistics – frequency rate, severity rate, cost per claim, audiometric statistics, pulmonary statistics, air quality measurements, blood levels, first aid.
8.7	Company specific monthly, quarterly or annual health and safety reports, analysis of injury reports, graphical reports of health and safety statistics to show trends.
8.8, 8.9	Previous health and safety audits.
8.10	Health and safety action plans.

AUDIT OBSERVATION TOUR GUIDELINE

The audit observation tour is an important component of the audit validation process. It is done for two reasons;

- To verify information obtained from documentation and interviews,
- To verify adherence to established organization standards.

INSTRUCTIONS:

- ▲ The auditor walks through the worksite and observes those things called for in the audit questions outlined below.
- ▲ As the items are observed, the auditor notes their location in the location column and records what was seen in the notes column.
- ▲ A staff member from the organization being audited should accompany the auditor during the observation tour. This is important in the event that on-the-spot changes need to be made in response to conditions observed (eg. the existence of imminent danger).

	AUDIT QUESTION	WHAT TO LOOK FOR	LOCATION(S)	NOTES
1.3	Is the policy readily available to employees?	Health and safety policy may be posted on bulletin boards, in lunch rooms, reception areas, on computers, in safety manuals that are readily available to employees, employee have a copy, etc.		
1.10	Is relevant health and safety legislation readily available at work sites?	Copies of occupational health and safety legislation (federal, provincial, municipal) appropriate to the operation of the worksites should be present on site. Some examples could be: - OH&S Act - General Safety Regulations - Chemical Hazards Regulations - First Aid Regulations - WHMIS - TDG		

	AUDIT QUESTION	WHAT TO LOOK FOR	LOCATION(S)	NOTES
3.1	Have hazard controls been identified and implemented: Engineering? Personal Protective Equipment (PPE)?	Engineering and personal protective equipment controls outlined in the hazard assessment documents must be observed. The engineering controls could be ventilation, guarding, substitution, isolation, noise control, etc. The personal protective equipment controls could be hard hats, steel toed boots, gloves, respiratory masks etc.		
3.3	Are employees using controls developed for identified health and safety hazards?	Auditor to physically observe employees using the engineering, administrative or personal protective equipment controls identified and approved in the hazard assessment documents.		
3.5	Does management enforce the use of engineering controls?	Look for compliance with engineering control requirements i.e. have safety guards been removed. Non-compliance may indicate non-enforcement. When there is non-compliance note if management in the area responds and enforces the use of control.		
3.6	Does management enforce the use of safe work procedures, rules, and work practices?	Look for compliance with safe work procedures, rules, and work practices. Non-compliance may indicate non-enforcement. When there is non-compliance note if management in the area responds and enforces use of control.		
3.7	Is the required PPE equipment available?	Auditor must observe that the PPE identified and approved in the hazard assessment document (refer to 3.1) is readily available for employee use.		
3.8	Where PPE is used as a method of control, are employees trained in the use, care and maintenance of the PPE?	PPE observed at the workplace should be clean, properly stored, in good condition, etc. Employees should be able to explain how each article of personal protective equipment is used and how it is maintained.		
3.9	Is the use of PPE enforced?	Look for compliance with PPE requirements. Non-compliance may indicate non-enforcement.		

	AUDIT QUESTION	WHAT TO LOOK FOR	LOCATION(S)	NOTES
4.7	Are deficiencies identified in the inspection reports corrected in a timely manner?	Auditor selects items from past inspection checklists and physically observes the workplace to confirm the identified deficiencies have been corrected.		
6.8	Do first aid supplies and facilities meet legislation requirements?	Check to see whether the first aid kit is clean, the right size, stocked appropriately and the log book is being used. Check to see whether the first aid room is clean and maintained.		
7.11	Are corrective actions taken to prevent recurrence?	Auditor selects some approved corrective measures from the accident/incident investigation reports and visually confirms that they have been implemented.		
8.10	Has the action plan been implemented?	Auditor must get the action plan from the previous audit and confirm implementation.		